



UNITED STATES PATENT AND TRADEMARK OFFICE

JAN 04 2002

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/965,201	09/25/2001	Brown	AXIOM.016A

PATENT & TRADEMARK RECEIVED

20995  
KNOBBE MARTENS OLSON & BEAR LLP  
620 NEWPORT CENTER DRIVE  
SIXTEENTH FLOOR  
NEWPORT BEACH, CA 92660

#L

CONFIRMATION NO. 2903

FORMALITIES LETTER



\*OC000000006990249\*

Date Mailed: 10/29/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

01/09/2002 STEUMEL1 00000029 09965201

FILED UNDER 37 CFR 1.53(b)

01 FC:105

130.00 OP

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216

- To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov
- 

*A copy of this notice **MUST** be returned with the reply.*

*[Signature]*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY



SECTOR 4  
PATENT  
Box Secy

Case Docket No. AXIOM.016A  
Date: December 18, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Brown, et al.

App. No. : 09/965,201

Filed : September 25, 2001

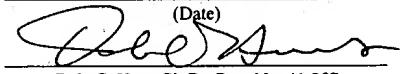
For : IDENTIFICATION OF  
MODULATORY  
MOLECULES USING  
INDUCIBLE PROMOTERS

Group Art Unit : unknown

I hereby certify that this correspondence and all  
marked attachments are being deposited with the  
United States Postal Service as first class mail in an  
envelope addressed to: Assistant Commissioner for  
Patents, Washington, D.C. 20231, on

December 18, 2001

(Date)

  
Dale C. Hunt, Ph.D., Reg. No. 41,857

TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231  
ATTENTION: BOX MISSING PARTS

Dear Sir:

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(f), which was mailed by the Office on October 29, 2001, enclosed are:

- (X) A Notice to File Missing Parts.
- (X) An executed Declaration by Inventors.
- (X) A Power of Attorney Form and Copy of Assignment.
- (X) Sequence Submission Statement.
- (X) Sequence Listing in 6 pages.
- (X) Sequence Listing in computer readable form.
- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 with 38 references.
- (X) Return prepaid postcard.

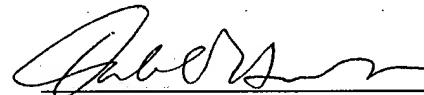
PATENT

Case Docket No. AXIOM.016A  
Date: December 18, 2001

(X) Fees as calculated below:

FEE FOR EXTENSION OF TIME (LARGE ENTITY)	months	\$ 0
SURCHARGE 37 CFR 1.16(e)		\$ + 130
TOTAL OF ABOVE CALCULATIONS		\$ 130
REDUCTION BY 1/2 FOR FILING BY SMALL ENTITY.		
Note 37 CFR 1.9, 1.27, 1.28. If applicable, verified statement must be attached.		\$ -
TOTAL FEES SUBMITTED HEREWITH		\$ 130

- (X) A check in the amount of \$130 to cover the above fees is enclosed.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, now or in the future, or credit any overpayment, to Account No. 11-1410.



Dale C. Hunt, Ph.D.  
Registration No. 41,857  
Attorney of Record

AXIOM.016A



# 5

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Brown, et al.

Appl. No. : 09/965,201

Filed : September 25, 2001

For : IDENTIFICATION OF MODULATORY MOLECULES USING  
INDUCIBLE PROMOTERS

**SEQUENCE SUBMISSION STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

A copy of the Sequence Listing in computer readable form as required by 37 C.F.R. § 1.821(e) is submitted herewith.

As required by 37 C.F.R. § 1.821(f), the data on the enclosed disk are identical to the Sequence Listing in the application filed herewith.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 18 Dec 2001

By: Dale C. Hunt

Dale C. Hunt  
Registration No. 41,857  
Attorney of Record  
620 Newport Center Drive  
Sixteenth Floor  
Newport Beach, CA 92660  
(619) 235-8550